

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2010

Report Required by the Ethics
in Government Act of 1978
(5 U.S.C. app. §§ 101-111)

1. Person Reporting (last name, first, middle initial) Gajarsa, Arthur J.	2. Court or Organization U.S. Court of Appeals for the Federal Circuit	3. Date of Report 08/10/2011
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Appeals Judge - Active	5a. Report Type (check appropriate type) ☐ Nomination, ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2010 to 12/31/2010
7. Chambers or Office Address 717 Madison Place, N.W. Washington, D.C. 20439	8. On the basis of the information contained in this Report and any modifications pertaining thereto, it is, in my opinion, in compliance with applicable laws and regulations. Reviewing Officer _____ Date _____	
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information. Sign on last page.		

I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions.)

☐ NONE (No reportable positions.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. Board of Trustees	Rensselaer Institute
2. Board of Visitors	Georgetown University
3.	
4.	
5.	

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions.)

☒ NONE (No reportable agreements.)

<u>DATE</u>	<u>PARTIES AND TERMS</u>
1.	
2.	
3.	

Gajarsa , Arthur J.

FINANCIAL DISCLOSURE REPORT

Page 2 of 10

Name of Person Reporting

Gajarsa, Arthur J.

Date of Report

08/10/2011

III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see pp. 17-24 of filing instructions.)***A. Filer's Non-Investment Income**☐ NONE *(No reportable non-investment income.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2010	PRESIDENT & DIRECTORS OF GEORGETOWN COLLEGE FOR GEORGETOWN UNIVERSITY - W-2 WAGES	\$7,700.00
2.		
3.		
4.		

B. Spouse's Non-Investment Income - *If you were married during any portion of the reporting year, complete this section.**(Dollar amount not required except for honoraria.)*☒ NONE *(No reportable non-investment income.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1.	
2.	
3.	
4.	

IV. REIMBURSEMENTS *-- transportation, lodging, food, entertainment.**(Includes those to spouse and dependent children; see pp. 25-27 of filing instructions.)*☐ NONE *(No reportable reimbursements.)*

	<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1.	NEW YORK INTELLECTUAL PROPERTY LAW ASSOCIATION	03/26/10 - 03/27/10	NEW YORK, NY	HONORING FEDERAL JUDICIARY	TRANSPORTATION, MEALS, LODGING
2.	FRANKLIN PIERCE LAW CENTER (UNIV OF NEW HAMPSHIRE)	04/21/10 - 04/24/10	CONCORD, NEW HAMPSHIRE	PARTICIPANT - NAVIGATING IP BOUNDRIES, FRONTIERS & OPPORTUNITIES	TRANSPORTATION
3.	FEDERAL JUDICIAL CENTER	06/10/10 - 06/15/10	PRINCETON, NEW JERSEY	SEMINAR FOR FEDERAL & STATE JUDGES	TRANSPORTATION, MEALS, LODGING

FINANCIAL DISCLOSURE REPORT

Page 3 of 10

Name of Person Reporting

Gajarsa, Arthur J.

Date of Report

08/10/2011

4.	UNIVERSITY OF HOUSTON LAW CENTER - IP INSTITUTE	09/30/10 - 10/02/10	GALVESTON, TEXAS	KEYNOTE SPEAKER	TRANSPORTATION
5.	HARVARD LAW IP CONFERENCE	10/13/10 - 10/14/10	BOSTON, MASSACHUSETTS	SPEAKER	TRANSPORTATION, MEALS, LODGING
6.	AUSTIN AIPLA ANNUAL DINNER	11/11/10 - 11/13/10	AUSTIN, TEXAS	KEYNOTE SPEAKER	TRANSPORTATION, MEALS
7.	PHILADELPHIA INTELLECTUAL PROPERTY LAW ASSOCIATION	11/18/2010	PHILADELPHIA, PENNSYLVANIA	JUDGE'S DINNER - LOURIE HONOREE	TRANSPORTATION, MEALS, LODGING

FINANCIAL DISCLOSURE REPORT

Page 4 of 10

Name of Person Reporting

Gajarsa, Arthur J.

Date of Report

08/10/2011

V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*

☒ NONE *(No reportable gifts.)*

<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
1.		
2.		
3.		
4.		
5.		

VI. LIABILITIES. *(Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)*

☐ NONE *(No reportable liabilities.)*

<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1. MORGAN STANLEY SMITH BARNEY	PORTFOLIO CREDIT LINE	M
2.		
3.		
4.		
5.		

FINANCIAL DISCLOSURE REPORT

Page 5 of 10

Name of Person Reporting

Gajarsa, Arthur J.

Date of Report

08/10/2011

VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets)	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
	Place "(X)" after each asset exempt from prior disclosure								
1. COIN COLLECTION		None	L	W					
2. BANK OF AMERICA	A	Interest	K	T					
3. ROCKYWOLD DEEPHAVEN CAMPS	A	Dividend	K	T					
4. SPECIAL SITUATIONS LIFE SCIENCES FUND LP	F	Int./Div.	M	U					
5. ORTEC THERAPEUTICS INC		None	K	T					
6. CHASE PACKAGING CORP TEX		None	K	T					
7. EAGLE BANCORP INC MD		None	K	T					
8. HOLOGIC INC		None	K	T					
9. INSULET CORP		None	L	T					
10. CONSOLIDATED EDISON	C	Dividend	L	T					
11. NSTAR	B	Dividend	K	T					
12. UDR INC	A	Dividend	K	T					
13. UNIVERSAL HEALTH REALTY INCOME TRUST	D	Dividend	M	T					
14. MASSMUTUAL CORPORATE INVESTORS	D	Dividend	M	T					
15. MASS MUTUAL PARTICIPATION INVS	D	Dividend	M	T					
16. EATON VANCE GREATER INDIA FUND		None	M	T					
17. CITIBANK NA SOUTH DAKOTA BNK DEPO PRGM "ACCOUNT"	A	Interest	J	T					

1. Income Gain Codes: A = \$1,000 or less B = \$1,001 - \$2,500 C = \$2,501 - \$5,000 D = \$5,001 - \$15,000 E = \$15,001 - \$50,000
(See Columns B1 and D4) F = \$50,001 - \$100,000 G = \$100,001 - \$1,000,000 H1 = \$1,000,001 - \$5,000,000 H2 = More than \$5,000,000
2. Value Codes J = \$15,000 or less K = \$15,001 - \$50,000 L = \$50,001 - \$100,000 M = \$100,001 - \$250,000
(See Columns C1 and D3) N = \$250,001 - \$500,000 O = \$500,001 - \$1,000,000 P1 = \$1,000,001 - \$5,000,000 P2 = \$5,000,001 - \$25,000,000
P3 = \$25,000,001 - \$50,000,000
3. Value Method Codes Q = Appraisal R = Cost (Real Estate Only) S = Assessment T = Cash Market
(See Column C2) U = Book Value V = Other W = Estimated

FINANCIAL DISCLOSURE REPORT

Page 6 of 10

Name of Person Reporting

Gajarsa, Arthur J.

Date of Report

08/10/2011

VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
18. ANADIGICS INC		None	K	T					
19. CORNING INC	A	Dividend	K	T					
20. RUMSON-FAIR HAVEN BK & TRUST CO		None	K	T					
21. TGC INDUSTRIES INC		None	L	T					
22. POWERSHARES EXCHANGE - TRADED FD		None	J	T					
23. CPI CAPITAL NORTH AMERICA SER A		None	L	T					
24. CAPITOL PRIVATE OPP LP		None	N	T	Buy (add'l)	09/01/10	L		
25. MORGAN STANLEY SMITH BARNEY IRA -20-12	A	Int./Div.	J	T					
26. - CITI BANK NA BANK DEPOSIT PROGRAM "ACCOUNT"									
27. -CITIBANK NA SOUTH DAKOTA BNK DEPO PRGM "ACCOUNT"									
28. - BANK OF AMERICA CORP									
29. MORGAN STANLEY SMITH BARNEY IRA - 80-16	A	Int./Div.	L	T					
30. -CITIBANK NA SOUTH DAKOTA BNK DEPO PRGM "ACCOUNT"					Open	12/23/10	J		
31. -CVCI CAYMEN OFF II CLA					Buy (add'l)	05/03/10	J		
32. AMERITRADE IRA	E	Int./Div.	P1	T					
33. -CASH INSURED DEPOSIT "ACCOUNT"									
34. -ANADIGICS INC									

1. Income Gain Codes:

(See Columns B1 and D4)

2. Value Codes

(See Columns C1 and D3)

3. Value Method Codes

(See Column C2)

A = \$1,000 or less

F = \$50,001 - \$100,000

J = \$15,000 or less

N = \$250,001 - \$500,000

P3 = \$25,000,001 - \$50,000,000

Q = Appraisal

U = Book Value

B = \$1,001 - \$2,500

G = \$100,001 - \$1,000,000

K = \$15,001 - \$50,000

O = \$500,001 - \$1,000,000

R = Cost (Real Estate Only)

V = Other

C = \$2,501 - \$5,000

H1 = \$1,000,001 - \$5,000,000

L = \$50,001 - \$100,000

P1 = \$1,000,001 - \$5,000,000

P4 = More than \$50,000,000

S = Assessment

W = Estimated

D = \$5,001 - \$15,000

H2 = More than \$5,000,000

M = \$100,001 - \$250,000

P2 = \$5,000,001 - \$25,000,000

T = Cash Market

E = \$15,001 - \$50,000

FINANCIAL DISCLOSURE REPORT

Page 7 of 10

Name of Person Reporting

Gajarsa, Arthur J.

Date of Report

08/10/2011

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
35. -AOL INC (SPIN-OFF FROM TIME WARNER, INC.)					Sold	01/14/10	J		
36. -BANK OF AMERICA CORP									
37. -CHASE PACKAGING CORPORATION CM									
38. -DIANA SHIPPING INC									
39. -DISCOVER FINL SVCS									
40. -GENERAL ELECTRIC COMPANY					Buy	10/07/10	K		
41. -GOLDCORP INC					Buy	01/06/10	K		
42. -ENERGY CONVERSION DEVICES IN									TRANS TO ROTH IRA LINE 61
43. -HEALTH CARE REIT INC									
44. -IDEARC INC					Closed	12/31/10	J		CO WENT BANKRUPT NO SALE
45. -INSULET CORPORATION									
46. -INTERMEC INC									
47. -INTRAOP MEDICAL CORP									
48. -LEGG MASON INC									
49. -MASSMUTUAL CORPORATE INVS IN									
50. -MASSMUTUAL PARTICIPATION INV SH BEN INT									

- | | | | | | |
|--|--|--|--|--|-------------------------|
| 1. Income Gain Codes:
(See Columns B1 and D4) | A = \$1,000 or less
F = \$50,001 - \$100,000
J = \$15,000 or less
N = \$250,001 - \$500,000
P3 = \$25,000,001 - \$50,000,000 | B = \$1,001 - \$2,500
G = \$100,001 - \$1,000,000
K = \$15,001 - \$50,000
O = \$500,001 - \$1,000,000 | C = \$2,501 - \$5,000
H1 = \$1,000,001 - \$5,000,000
L = \$50,001 - \$100,000
P1 = \$1,000,001 - \$5,000,000
P4 = More than \$50,000,000 | D = \$5,001 - \$15,000
H2 = More than \$5,000,000
M = \$100,001 - \$250,000
P2 = \$5,000,001 - \$25,000,000 | E = \$15,001 - \$50,000 |
| 2. Value Codes
(See Columns C1 and D3) | Q = Appraisal
U = Book Value | R = Cost (Real Estate Only)
V = Other | S = Assessment
W = Estimated | T = Cash Market | |
| 3. Value Method Codes
(See Column C2) | | | | | |

FINANCIAL DISCLOSURE REPORT

Page 8 of 10

Name of Person Reporting

Gajarsa, Arthur J.

Date of Report

08/10/2011

VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
51. -MOTOROLA INC									TRANS TO ROTH IRA LINE 62
52. -ROSETTA STONE, INC									
53. -RUMSON-FAIR HAVEN BANK & TRUST									
54. -STEC INC									
55. -TGC INDS INC									
56. -TIME WARNER CABLE INC					Sold	04/27/10	J		
57. -TIME WARNER INC					Sold	04/27/10	K		
58. -UNIVERSAL HEALTH REALTY INCM T SH BEN INT									
59. -VALE S.A. ADR					Sold	10/07/10	K	C	
60. AMERITRADE ROTH IRA		None	K	T	Open	12/30/10	K		
61. -ENERGY CONVERSION DEVICES INC									TRANS FROM IRA LINE 42
62. -MOTOROLA INC									TRANS FROM IRA LINE 51
63. EUROPACIFIC GROWTH FUND		None	J	T	Buy	10/01/10	J		
64. GROWTH FUND OF AMERICA		None	J	T	Buy	10/01/10	J		
65. NEW PERSPECTIVE FUND CL 529-A		None	J	T	Buy	10/01/10	J		
66. WASHINGTON MUTUAL INVESTORS FUND CL 529-A		None	J	T	Buy	10/01/10	J		
67.									

1. Income Gain Codes:

(See Columns B1 and D4)

2. Value Codes

(See Columns C1 and D3)

3. Value Method Codes

(See Column C2)

A = \$1,000 or less

F = \$50,001 - \$100,000

J = \$15,000 or less

N = \$250,001 - \$500,000

P3 = \$25,000,001 - \$50,000,000

Q = Appraisal

U = Book Value

B = \$1,001 - \$2,500

G = \$100,001 - \$1,000,000

K = \$15,001 - \$50,000

O = \$500,001 - \$1,000,000

R = Cost (Real Estate Only)

V = Other

C = \$2,501 - \$5,000

H1 = \$1,000,001 - \$5,000,000

L = \$50,001 - \$100,000

P1 = \$1,000,001 - \$5,000,000

P4 = More than \$50,000,000

S = Assessment

W = Estimated

D = \$5,001 - \$15,000

H2 = More than \$5,000,000

M = \$100,001 - \$250,000

P2 = \$5,000,001 - \$25,000,000

T = Cash Market

E = \$15,001 - \$50,000

FINANCIAL DISCLOSURE REPORT

Page 9 of 10

Name of Person Reporting

Gajarsa, Arthur J.

Date of Report

08/10/2011

VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

During the year, there was a conversion from a regular Ira to a Roth Ira. Two stocks were converted to the Roth account, Energy Conversion Devices Inc (line 42 to line 61) and Motorola Inc (line 51 to line 62).

FINANCIAL DISCLOSURE REPORT

Page 10 of 10

Name of Person Reporting

Gajarsa, Arthur J.

Date of Report

08/10/2011

IX. CERTIFICATION.

I certify that all information given above (including information pertaining to my spouse and minor or dependent children, if any) is accurate, true, and complete to the best of my knowledge and belief, and that any information not reported was withheld because it met applicable statutory provisions permitting non-disclosure.

I further certify that earned income from outside employment and honoraria and the acceptance of gifts which have been reported are in compliance with the provisions of 5 U.S.C. app. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature: s/ Arthur J. Gajarsa

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544